

Serial No. To be assigned

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	CAI et al.	Examiner:	Unknown
Serial No.:	To be assigned	Group Art Unit:	Unknown
Filed:	September 8, 2003	Docket No.:	00980.1117-US-U1
Title:	SEMICONDUCTOR OPTICAL DEVICE HAVING ASYMMETRIC RIDGE WAVEGUIDE AND METHOD OF MAKING SAME		

CERTIFICATE UNDER 37 C.F.R. 1.10:

'Express Mail' mailing number: EV 314777084 US

Date of Deposit: September 8, 2003

The undersigned hereby certifies that this Transmittal Letter and the paper or fee, as described herein, are being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to the Commissioner for Patents, Alexandria, VA 22313-1450.

By: Cheryl D. Millman
Cheryl Millman

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97(b)

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Applicant(s) respectfully submit(s) the items of information on the enclosed Form 1449 for the attention of the Examiner in the above-identified application.

This Information Disclosure Statement is being filed within three months of the filing of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d); within three months of the date of entry of the national stage as set forth in 37 C.F.R. 1.491 in an international application; before the mailing date of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. 1.114. Accordingly, no fee is due for consideration of the items listed on the enclosed Form 1449.

A copy of each document or other information listed on the enclosed Form 1449 is enclosed in accordance with 37 C.F.R. §1.98(a)(2) and/or a copy of each document is not provided because it was previously cited by or submitted to the U.S. Patent and Trademark Office in a parent application in accordance with 37 C.F.R. §1.98(d) and/or a copy of each document is not provided because the U.S. Patent and Trademark Office has waived the requirement of filing such document formerly required in 37 CFR 1.98 (a)(2)(i).

No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§102 and 103. In addition, Applicant(s) do(es) not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended, and reserve the right to establish otherwise under 37 C.F.R. §1.131 or others.

Consideration of the items listed is respectfully requested. According to M.P.E.P. §609, Applicant(s) request(s) that the Examiner return a copy of the attached Form 1449, marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

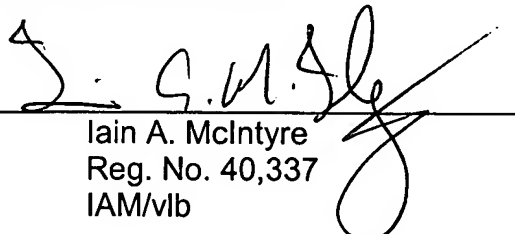
Authorization is hereby given to charge any additional fees or credit any overpayments that may be deemed necessary to Deposit Account Number 50-1038.

Respectfully submitted,

Altera Law Group, LLC
Customer No. 22865

Date: September 8, 2003

By:


Iain A. McIntyre
Reg. No. 40,337
IAM/vlb

